

Clerk of the House of Representatives  
Legislative Resource Center  
B-106 Cannon Building  
Washington, DC 20515  
<http://lobbyingdisclosure.house.gov>

Secretary of the Senate  
Office of Public Records  
232 Hart Building  
Washington, DC 20510  
<http://www.senate.gov/lobby>

# LOBBYING REPORT

Lobbying Disclosure Act of 1995 (Section 5) - All Filers Are Required to Complete This Page

<b>1. Registrant Name</b> <input checked="" type="checkbox"/> Organization/Lobbying Firm <input type="checkbox"/> Self Employed Individual <u>Caterpillar Inc</u>			
<b>2. Address</b> Address1 <u>1425 K Street, N.W.</u> Address2 <u>Suite 400</u> City <u>Washington</u> State <u>DC</u> Zip Code <u>20005</u> Country <u>USA</u>			
<b>3. Principal place of business (if different than line 2)</b> City <u>Peoria</u> State <u>IL</u> Zip Code <u>61630</u> Country <u>USA</u>			
<b>4a. Contact Name</b> <u>Mr. Christopher J. Myers</u>		<b>b. Telephone Number</b> <u>2024660671</u> <b>c. E-mail</b> <u>Myers_Chris@cat.com</u>	
		<b>5. Senate ID#</b> <u>8475-12</u>	
<b>7. Client Name</b> <input checked="" type="checkbox"/> Self <input type="checkbox"/> Check if client is a state or local government or instrumentality <u>Caterpillar Inc</u>		<b>6. House ID#</b> <u>313190000</u>	

## TYPE OF REPORT

8. Year 2016 Q1 (1/1 - 3/31) ☐ Q2 (4/1 - 6/30) ☐ Q3 (7/1 - 9/30) ☒ Q4 (10/1 - 12/31) ☐

9. Check if this filing amends a previously filed version of this report ☐

10. Check if this is a Termination Report ☐ Termination Date \_\_\_\_\_ 11. No Lobbying Issue Activity ☐

## INCOME OR EXPENSES - YOU MUST complete either Line 12 or Line 13

<p style="text-align: center;"><b>12. Lobbying</b></p> <p><b>INCOME</b> relating to lobbying activities for this reporting period was:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input type="checkbox"/> \$ _____</p> <p>Provide a good faith estimate, rounded to the nearest \$10,000, of all lobbying related income from the client (including all payments to the registrant by any other entity for lobbying activities on behalf of the client).</p>	<p style="text-align: center;"><b>13. Organizations</b></p> <p><b>EXPENSE</b> relating to lobbying activities for this reporting period were:</p> <p><u>Less than \$5,000</u> <input type="checkbox"/></p> <p><u>\$5,000 or more</u> <input checked="" type="checkbox"/> \$ <u>760,000.00</u></p> <p><b>14. REPORTING</b> Check box to indicate expense accounting method. See instructions for description of options.</p> <p><input checked="" type="checkbox"/> <b>Method A.</b> Reporting amounts using LDA definitions only</p> <p><input type="checkbox"/> <b>Method B.</b> Reporting amounts under section 6033(b)(8) of the Internal Revenue Code</p> <p><input type="checkbox"/> <b>Method C.</b> Reporting amounts under section 162(e) of the Internal Revenue Code</p>
---	--

**Signature** Digitally Signed By: Christopher J. Myers

**Date** 10/20/2016  
3:00:28 PM

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code HCR

16. Specific lobbying issues

H.R. 1886 To repeal the funding mechanism for the transitional reinsurance program in the individual markets (entire bill)
H.R. 879 Ax the Tax on Middle Class Americans Health Plans Act (entire bill)
H.R. 2050 / S. 2045 Middle Class Health Benefits Tax Repeal Act (entire bills)
S. 2075 American Worker Health Care Tax Relief Act (entire bill)
Proposed Department of Treasury regulations on excise tax on high cost employer-sponsored health coverage, IRS Notice-2-15-16
Proposed Department of Treasury regulations on excise tax on high cost employer-sponsored health coverage, IRS Notice 2015-52
General issues relating to health care

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of
--

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code LBR

16. Specific lobbying issues

S. 2015 / H.R. 3459 Protecting Local Business Opportunity Act (entire bills)

Proposed National Labor Relations Board regulations related to representation case procedures; and the decision on the joint employer standard.

Proposed rules from Department of Labor on the Fair Pay Safe Workplaces Executive Order, Hours Worked Under the Fair Labor Standards Act, Establishing Paid Sick Leave for Federal Contractors, Persuader Agreements: Employer and Labor Consultant Reporting under the LMRDA, and Improve Tracking of Workplace Injuries and Illnesses.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP), Labor - Dept of (DOL)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TAX

16. Specific lobbying issues

Corporate Tax Reform (no bill number)
(No bill number) Issues relating to Treasury proposed regulations on Section 385 ([REG 108060-15] (IRC Section 385, debt/equity regulations)
H.R. 961, A Bill to amend the internal revenue code of 1986 to permanently extend subpart F exemption for active financing (entire bill)
H.R. 1430 - Permanent CFC Look Through Act of 2015 (entire bill)
Patent Box bill (no bill number; discussion draft)
General issues regarding tax simplification (no bill #)
Issues surrounding OECD Base-Erosion & Profit Shifting (BEPS)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of, Executive Office of the President (EOP), Commerce - Dept of (DOC)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Christopher	Myers			<input type="checkbox"/>
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code RET

16. Specific lobbying issues

(No bill number) Changes to Pension Nondiscrimination Testing (IRS REG-125761-14).

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Treasury - Dept of

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code CPT

16. Specific lobbying issues

S. 1890/H.R. 3326 Defend Trade Secrets Act (entire bills)

H.R. 9 Innovation Act Patent Reform legislation (entire bill)

S. 1137 The PATENT Act (entire bill)

H.R. 1057 PARTS Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code EDU

16. Specific lobbying issues

H.R. 5587 Strengthening Career and Technical Education for the 21st Century Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code BUD

16. Specific lobbying issues

S. 3067/H.R. 5486 Appropriations for financial services and general government for the fiscal year ending September 30, 2017, and for other purposes (Amendments related to Executive Order 13673 and corresponding regulations regarding Federal contractors.)

S. 3040 (No House bill number) Appropriations for the Departments of Labor, Health and Human Services, and Education and related agencies for the fiscal year ending September 30, 2017, and for other purposes (Amendments related to Executive Order 13673 and corresponding regulations regarding Federal contractors.)

S. 2949/ H.R. 4909 National Defense Authorization Act for Fiscal Year 2017 (Amendments related to Executive Order 13673 and corresponding regulations regarding Federal contractors.)

FY17 State, Foreign Operations Appropriations bill (no bill number) related to the Export Import Bank Board of Directors.

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>
Christopher	Myers			<input type="checkbox"/>
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None



**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code FIN

16. Specific lobbying issues

Nominations for the Export Import Bank Board of Directors (no bill number)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, Executive Office of the President (EOP), U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Christopher	Myers			<input type="checkbox"/>
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code ENG

16. Specific lobbying issues

EPA's Proposed CO2 Regulations for New and Existing Power Plants (no bill number)  S 1458. STREAM Act of 2015 (entire bill)  HR 5538 FY 2017 Interior and Environment Appropriations Bill (Funding for Diesel Emissions Reduction Act) (Prohibition on funding for Office of Surface Minings Stream Protection Rule) (Prohibition on funding for Clean Power Plan)  S. 2848/H.R. 5303, Water Development Resources Act.
---

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES, U.S. SENATE
--

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Lynn			<input type="checkbox"/>
Christopher	Myers			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TRD

16. Specific lobbying issues

Trans Pacific Partnership (TPP) (no bill number)  H.R.3238/S. 1543 - Cuba Trade Act of 2015 (entire bills)  H.R.664/S. 299 - Freedom to Travel to Cuba Act of 2015 (entire bills)
---

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Commerce - Dept of (DOC), Executive Office of the President (EOP)
---

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Christopher	Myers			<input type="checkbox"/>
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

--

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code NAT

16. Specific lobbying issues

H.R. 1644 Supporting Transparent Regulatory and Environmental Actions in Mining Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Jason	Lynn			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code CPI

16. Specific lobbying issues

S. 754 Cybersecurity Information Sharing Act (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Kai	Hirabayashi			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

**LOBBYING ACTIVITY.** Select as many codes as necessary to reflect the general issue areas in which the registrant engaged in lobbying on behalf of the client during the reporting period. Using a separate page for each code, provide information as requested. Add additional page(s) as needed.

15. General issue area code TAR

16. Specific lobbying issues

Miscellaneous Tariffs Bill (MTB), American Manufacturing Competitiveness Act - (H.R. 4923) - became PL-114-159 (entire bill)

17. House(s) of Congress and Federal agencies ☐ Check if None

U.S. SENATE, U.S. HOUSE OF REPRESENTATIVES, Executive Office of the President (EOP)

18. Name of each individual who acted as a lobbyist in this issue area

First Name	Last Name	Suffix	Covered Official Position (if applicable)	New
Katie	Hays			<input type="checkbox"/>

19. Interest of each foreign entity in the specific issues listed on line 16 above ☒ Check if None

### Information Update Page - Complete ONLY where registration information has changed.

20. Client new address

Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ Country \_\_\_\_\_

21. Client new principal place of business (if different than line 20)

City \_\_\_\_\_ State \_\_\_\_\_ Zip Code \_\_\_\_\_ Country \_\_\_\_\_

22. New General description of client's business or activities

### LOBBYIST UPDATE

23. Name of each previously reported individual who is no longer expected to act as a lobbyist for the client

First Name	Last Name	Suffix	First Name	Last Name	Suffix
1			3		
2			4		

### ISSUE UPDATE

24. General lobbying issue that no longer pertains

### AFFILIATED ORGANIZATIONS

25. Add the following affiliated organization(s)

Internet Address:

Name	Address				Principal Place of Business (city and state or country)
	Street Address	State/Province	Zip	Country	
	City				
					City State Country

26. Name of each previously reported organization that is no longer affiliated with the registrant or client

1

2

3

FOREIGN ENTITIES

27. Add the following foreign entities:

Name	Address			Principal place of business (city and state or country)	Amount of contribution for lobbying activities	Ownership percentage in client
	Street Address					
	City	State/Province	Country			
				City State Country		%

28. Name of each previously reported foreign entity that no longer owns, or controls, or is affiliated with the registrant, client or affiliated organization

1

3

5

2

4

6